

BOX PCT  
JC17 Rec'd PCT/PTO 3 0 MAY 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Zhi-Qiang XIA et al.

Attorney Docket No.: WSUR116430

Application No.: 09/673,918

Group Art Unit: --

Filed: October 23, 2000

Title:

RECOMBINANT SECOISOLARICIREBINOL DEHYDROGENASE AND  
METHODS OF USE

TRANSMITTAL OF MISSING PARTS OF PATENT APPLICATION

Seattle, Washington 98101

TO THE COMMISSIONER FOR PATENTS:

A. Transmitted herewith are the following:

- X 1. A copy of the executed Combined Declaration and Power of Attorney filed January 1, 2001, and a copy of the return postcard, stamped January 2, 2001.
- X 2. This patent application has been assigned to Washington State University Research Foundation, and a copy of the Assignment and a copy of the Recordation Form Cover Sheet are transmitted herewith.
- X 3. A copy of the Notification of Missing Requirements (PCT/DO/EO/905 (3/01)).
- X 4. An original Sequence Listing in computer readable form and a substitute Sequence Listing in paper copy form for the above-identified as required by 37 C.F.R. §§ 1.821 - 1.825. The paper and computer readable forms of the Sequence Listing have been revised to include the application number and filing date of the present application. A copy of the Notification to Comply with Requirements (Form PCT/DO/EO/920 (3/21)) is transmitted herewith. The contents of the computer readable copy and paper copy of the sequence listing are the same and contain no new matter in accordance with §§ 1.821(e), 1.821(f), 1.821(g), 1.825(b) and 1.825(d). Please enter the Sequence Listing into the specification.

B. Fees Enclosed

Enclosed is our Check No. 128600 in the amount of \$130.00 to cover the requisite surcharge fees.

Repln. Ref: 06/05/2001 WCLAYBRO 0011552100  
DAG:031740 Name/Number:09673918  
FC:704 \$130.00 CR

LAW OFFICES OF  
CHRISTENSEN O'CONNOR JOHNSON KINDNESS<sup>PLLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, Washington 98101  
206.682.8100

B. Additional Fee Charges or Credit for Overpayment

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16, 1.17 and 1.18 which may be required during the entire pendency of the application, or credit any overpayment, to Deposit Account No. 03-1740. This authorization also hereby includes a request for any extensions of time of the appropriate length required upon the filing of any reply during the entire prosecution of this application. A copy of this document is enclosed.

Respectfully submitted,

CHRISTENSEN O'CONNOR  
JOHNSON KINDNESS<sup>PLLC</sup>



Barry F. McGurl  
Registration No. 43,340  
Direct Dial No. 206.695.1775

I hereby certify that this correspondence is being deposited with the U.S. Postal Service in a sealed envelope as first class mail with postage thereon fully prepaid and addressed to the Commissioner for Patents, Washington, D.C. 20231, on the below date.

Date:

5/24/01



BFM:jlj

LAW OFFICES OF  
CHRISTENSEN O'CONNOR JOHNSON KINDNESS<sup>PLLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, Washington 98101  
206.682.8100

File No.: WSUR-1-16430

Atty/Secy: BFM:jlj

Date: 1/2/01

Appln. No.: 09/673,918

Filed: 10/23/00

Applicant(s): Xia et al.

Title: RECOMBINANT SECOISOLARICRESINOL DEHYDROGENASE AND METHODS OF USE

The following have been received in the U.S. Patent and Trademark Office on the date stamped hereon via first-class mail, with a signed Certificate of Mailing:

Transmittal (4 pages) in duplicate

Copy of Notice to File Missing Parts

Check No. 124106 for \$130.00

Combined Declaration and POA (4 pages)

Petition for 1-month extension of time (1 pg)

Check 124105 for \$110 for 1 month extension

JC02 Rec'd PCT/PTO 02 JAN 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PC1  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO	FIRST NAMED APPLICANT	ATTY. DOCKET NO
09/673918	XIA Z	WSUR116430
INTERNATIONAL APPLICATION NO		
PCT/US99/08975		
I.A. FILING DATE		PRIORITY DATE
23 APR 99		24 APR 98

CHRISTENSEN O CONNOR JOHNSON KINDNESS  
SUITE 2800  
1420 FIFTH AVENUE  
SEATTLE, WA 98101

DATE MAILED

30 APR 2001

## NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as:
- ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):
  - ☒ U.S. Basic National Fee. ☐ Indication of Small Entity Status.
  - ☒ Copy of the international application. ☒ Translation of the international application into English.
  - ☒ Oath or Declaration of inventor(s). ☐ Translation of Article 19 amendments into English.
  - ☒ Copy of Article 19 amendments. ☐ Other:
  - ☐ Priority Document.
  - ☐ The International Preliminary Examination Report in English and its Annexes, if any.
  - ☐ Translation of Annexes to the International Preliminary Examination Report into English.
2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
- ☐ U.S. Basic National Fee. ☐ Copy of the international application.
3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
  - ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
  - ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
  - ☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
  - ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
  - ☐ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
4. Additional claim fees of \$\_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.
5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

Enclosed: ☐ PCT/DO/EO/917  
☐ PTO-875

☐ Notice of Defective Translation  
☐ PCT/DO/EO/920

Paulette Kidwell, Paralegal

FORM PCT/DO/EO/905 (March 2001)

Telephone: 703-305-3656



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PC1  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/673918	XIA Z	WSUR116430
INTERNATIONAL APPLICATION NO.		
PCT/US99/08975		
I.A. FILING DATE		PRIORITY DATE
23 APR 99		24 APR 98

DATE MAILED: 30 APR 2001

CHRISTENSEN O CONNOR JOHNSON KINDNESS  
SUITE 2800  
1420 FIFTH AVENUE  
SEATTLE, WA 98101**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☒ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☐ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☐ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: \_\_\_\_\_

**APPLICANT MUST PROVIDE:**

- ☒ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☐ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE  
CALL:**

(703) 308-4216, for Rules interpretation,  
(703) 308-4212, for CRF submission help,  
(703) 287-0200, for PatentIn software help.

Paulette Kidwell, Paralegal  
Telephone: 703-305-3656

FORM PCT/DO/EO/920 (March 2001)